



-Image Formation and Simulation-

Berlin, Dec. 5th 2014

LECTURE SERIES

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If Avogadro calls tell him to leave his number



Computing in Electron Microscopy



ГПІ		
Image simulation	 Interpreting the image Easy change of instrumental parameters (e.g. high voltage, focus) Two methods: Bloch wave eigenstates or multi-slice methods 	
Image processing	 -Improve interpretability -Recover additional information (image restoration deconvolve transfer function of the instrument from a single image vs. image reconstruction combination of several images into one image) 	
Instrument design	Broad research field	
On-line control	Record the data and to control the instrument	
Data archiving	Digital storage vs. Photographs (degrading time)	

Constructive interference



Destructive interference





Computing in Electron Microscopy

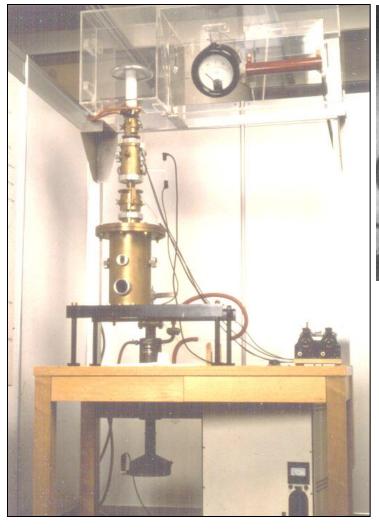


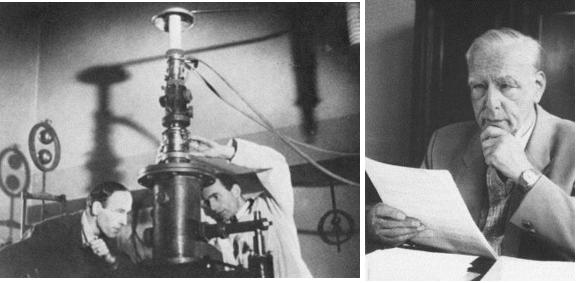
Table 1.1 Some symbols and their descriptions

Symbol	Description
a,b,c	Unit cell size of the specimen in x,y,z directions
a_0	Bohr radius (0.529 Ang.)
С	Speed of light
е	Charge on the electron
m_0	Rest mass of the electron
т	Total mass of the electron
V	Accelerating voltage
h	Planck's constant ($\hbar = h/(2\pi)$)
λ	Electron wavelength
χ	Phase error due to aberration of a focused electron wave
α	Electron scattering half angle
β	Condenser illumination half angle
x, y	Position in the image plane
Z	Position along the optic axis
k	2D spatial frequency in the Fourier transform of the image plane
$K = k(C_s \lambda^3)^{1/4}$	dimensionless spatial frequency
Δf	Defocus
$C_S = C_{S3}$	Third order spherical aberration
C_{S5}	Fifth order spherical aberration
σ	Electron interaction parameter
$\frac{\partial \sigma}{\partial \Omega}$	Partial cross section for scattering





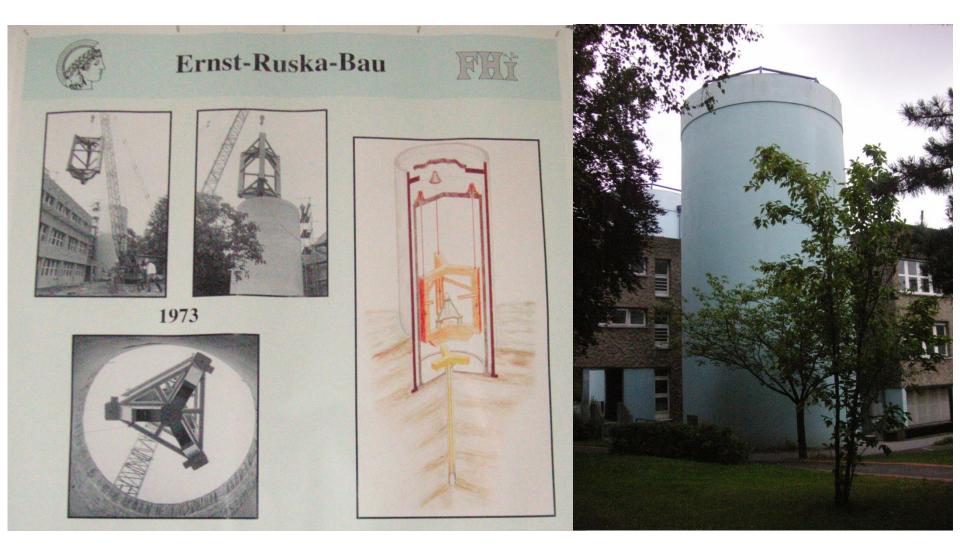




Early 1930s: Knoll and Ruska build first TEM 1986: Nobel Prize in physics for Ernst Ruska (TEM), Gerd Binnig & Heinrich Rohrer (STM)

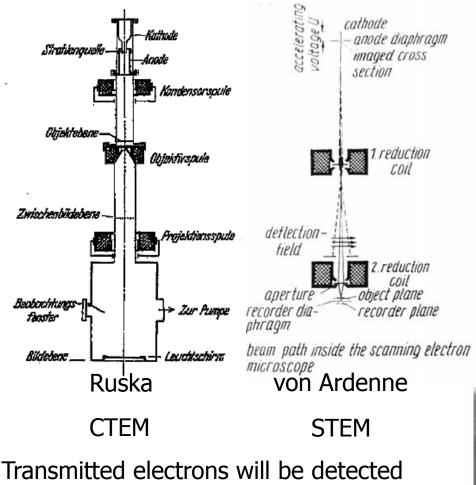






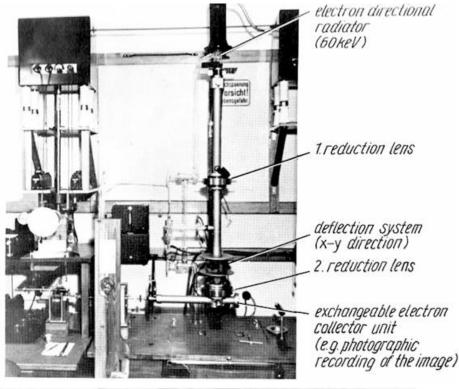






 \rightarrow High energy of electrons (100-1000kV)

Knoll et al. *Z.Physik* **1932**, 76, 649-654. v.Ardenne *Z.Tech.Physik* **1938**, 19, 487-416.

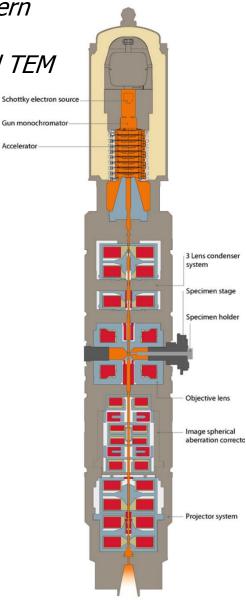


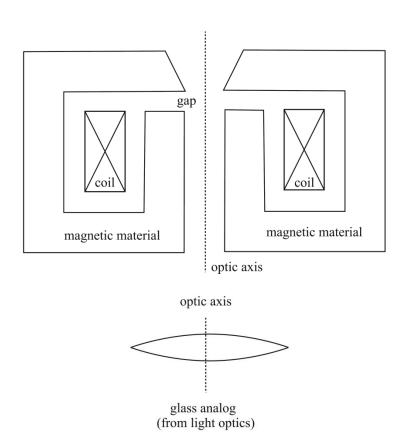






Scheme of a modern high resolution aberration corrected TEM









Flashing current VL Cold FEG vs. Schottky FEG EA Cold FE Tip (~ 6.5kV) used 4000hrs CB 1st anode 2nd anode Effective source EF size: 5 nm VB 5.0kV x250 Cold-FE CCFF

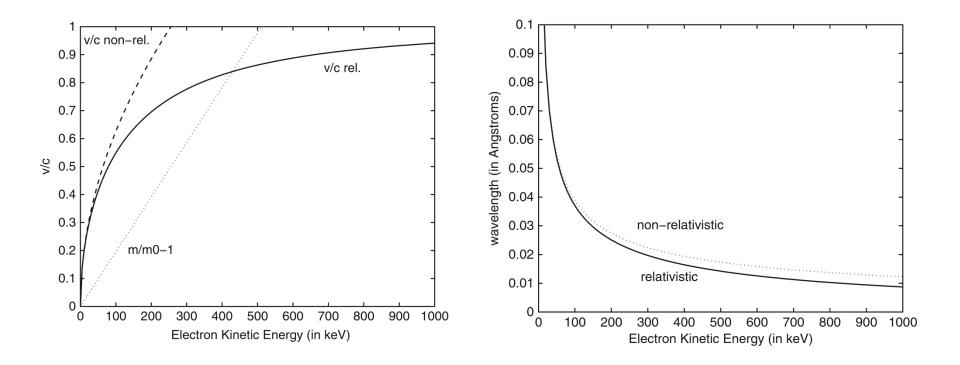
Source	Thermoionic	Thermoionic	FEG	Cold FEG
Material	W	LaB ₆	W(100) + ZrO	W(310)
Work function [eV]	4.5	2.7	2.7	4.5
Tip radius [µm]	50-100	10-20	0.5-1	<0.1
Temperature [K]	2800	1900	1800	300
Normalized Brightness [Acm ⁻ ² sr ⁻¹]	104	10 ⁵	10⁷ /10 ⁸	2*10 ⁷ /10 ⁹
Energy spread at gun exit [eV]	1.5-2.5	1.3-2.5	0.4-0.7 /0.9	0.3-0.7 /0.22
Vacuum [Torr]			10 ⁻⁸	10 ⁻¹⁰

Dehm et al. In-situ Electron Microscopy 2012; spectral.se; spie.org





Relativistic Electrons



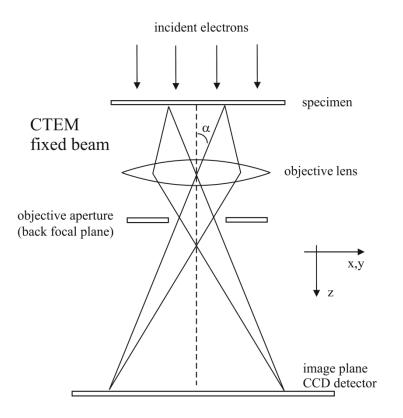
Schrödinger wave equation of quantum mechanics is not relativistically correct. The electron is relativistiv at the beam energies used in the electron microscope meaning that the relativistic Dirac equation would be the correct wave equation for relativistic electrons



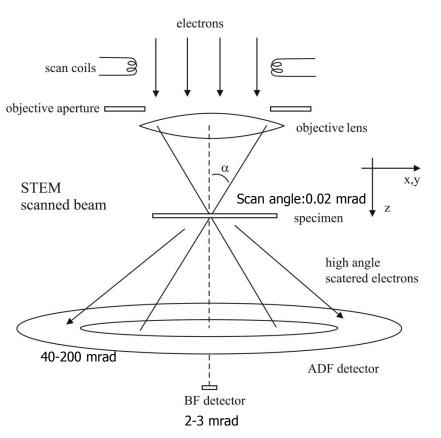


Modelling the TEM

Sample in vacuum, illumination system (condensor) aligned



Whole image is formed in parallel

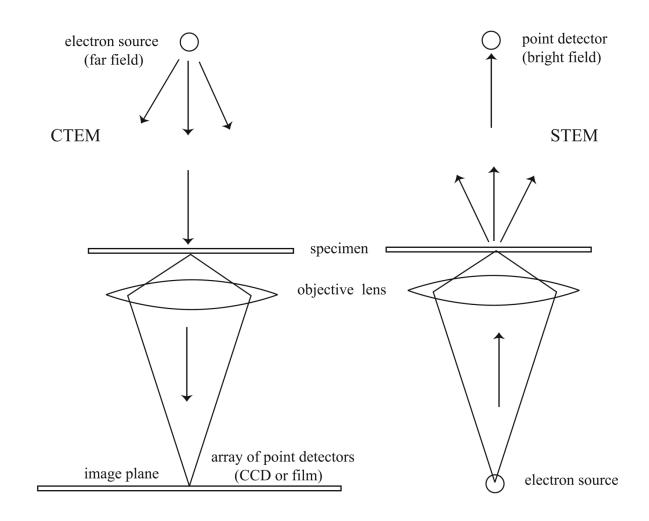


Focused probe scan across the sample and the image Is built sequentially





Reciprocity



Electron intensities and ray paths in the microscope remain the same if their direction is reversed and the source and detector are interchanged (electrons trajectories and elastic scattering processes have time reversal symmetry). T. Lunkenbein, FHI



electron trajectories

image point



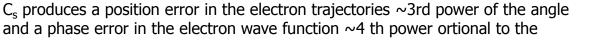
Aberration

Most aberrations that exists for optical lenses also exists for magnetic lenses (Maxwell 'equations)

electron motion

Well-aligne elctron microscope higher order aberration are negligble and only third-order spherical aberration Cs has to be considered

The magnetic field further away from the axis Is stronger than required \rightarrow electrons traveling at larger angles (a) are deflected stronger than it is required to focus them



phase error $\chi = (2\pi/\lambda)\delta$

spherical surface

electron
 wavefunction

optic axis

$$\alpha = \sqrt{\alpha_x^2 + \alpha_y^2} \qquad \chi = \frac{2\pi}{\lambda} \delta = \frac{2\pi}{\lambda} \left(\frac{1}{2} C_1 \alpha^2 + \frac{1}{4} C_3 \alpha^4 + \frac{1}{6} C_5 \alpha^6 + \cdots \right) \qquad \Delta f = -C_1$$

Scherzer Theorem: A static, rotationally symmetric magnetic field with no sources on the axis will always produce a spherical aberration greater than zero because the expression for Cs can be written as the sum of quadratic terms.

optic axis

$$\chi(\alpha) = \frac{2\pi}{\lambda} \left(\frac{1}{4} C_s \alpha^4 - \frac{1}{2} \Delta f \alpha^2 \right) \qquad \alpha = \lambda k$$

 $\begin{array}{l} \lambda k=\!\alpha : \mbox{semiangle of the ojective} \\ \mbox{aperutre} \\ \Delta f=-C_1: \mbox{defocus} \\ C_3=C_s: \mbox{spherical aberration (3rd order)} \\ \lambda= \mbox{wavelength} \\ \delta: \mbox{deviation} \\ \hline T. \mbox{Lunkenbein, FHI} \end{array}$



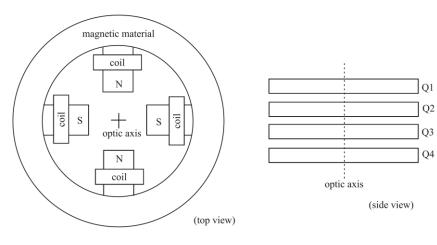


Aberration correction

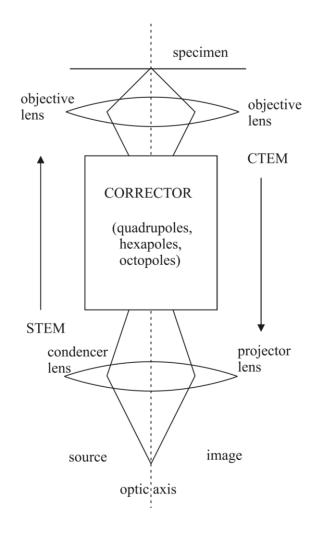
Aberration corrected TEM

Rotational lenses have always positive aberrations

Correction: non-rotationally symmetric lenses are used To produce negative aberrations to balance positive aberrations



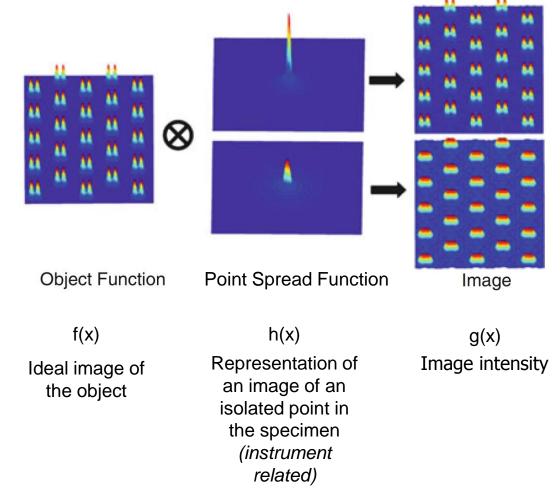
converge and diverge the beam \rightarrow Negative aberrations







Approximation to calculate TEM and STEM images using linear image models.



$$g(x,y) = f(x,y) \otimes h(x,y)$$
 $G(\mathbf{k}) = F(\mathbf{k})H(\mathbf{k})$

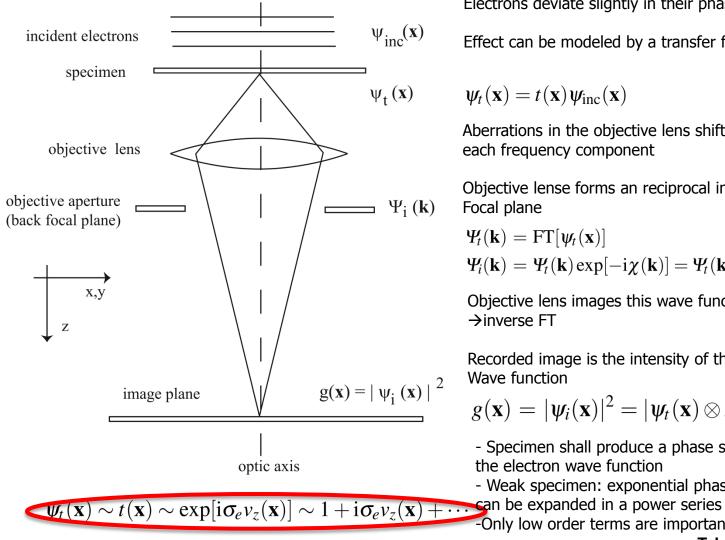
Vogt et al. – *Modelling Nanoscale Imaging in Electron Microscopy* 2012.





Weak Phase Object in BF-TEM

very thin sample + only light atoms



Fast electrons pass through a thin sample.

Electrons deviate slightly in their phase

Effect can be modeled by a transfer function (t(x))

$$\psi_t(\mathbf{x}) = t(\mathbf{x})\psi_{\text{inc}}(\mathbf{x})$$

Aberrations in the objective lens shift the phase of each frequency component

Objective lense forms an reciprocal image in the back Focal plane

$$\Psi_t(\mathbf{k}) = FT[\Psi_t(\mathbf{x})]$$

$$\Psi_t(\mathbf{k}) = \Psi_t(\mathbf{k}) \exp[-i\chi(\mathbf{k})] = \Psi_t(\mathbf{k})H_0(\mathbf{k})$$

Objective lens images this wave function →inverse FT

Recorded image is the intensity of the image Wave function

$$g(\mathbf{x}) = |\psi_i(\mathbf{x})|^2 = |\psi_t(\mathbf{x}) \otimes h_0(\mathbf{x})|^2$$

- Specimen shall produce a phase shift in the electron wave function

- Weak specimen: exponential phase factor

-Only low order terms are important





Weak Phase Object in BF-TEM

$$G(\mathbf{k}) = \operatorname{FT}[g(\mathbf{x})] = \delta(\mathbf{k}) + 2\sigma_e V_z(\mathbf{k}) H_{WP}(\mathbf{k})$$
$$H_{WP}(\mathbf{k}) = \operatorname{FT}[h_{WP}(\mathbf{x})]$$
$$= \frac{i}{2} \{ \exp[-i\chi(\mathbf{k})] - \exp[i\chi(\mathbf{k})] \}$$
$$= \sin\chi(\mathbf{k}). \quad \text{Problem!!!}$$

Some spacinges will be transmitted as white $(H_{WP}(k)>0)$; at the same time other spacing are transmitted black $(H_{WP}(k)<0)$

-but: minimum of $H_{WP}(k)$ remains flat for significant region

If focus is adjusted so that the sin function is close to its minimum or maximum

 $\rightarrow H_{WP}(k)$ has a region of uniformly transferred information

 \rightarrow

Solution!!!

$$0.7 \le |\sin \chi(k)| \le 1.0$$

$$\chi(k) = -\left[\frac{2n_D - 1}{2}\right] \pi \pm \frac{\pi}{4}$$

$$\chi(K) = \pi (0.5(\sqrt{D})^4 - D(\sqrt{D})^2)$$

$$\mathbf{\sigma} = \text{interaction parameter}$$

$$\chi(\mathbf{k}) = \text{aberration function}$$

$$\mathbf{n}_D = 1, 2, 3, \dots$$

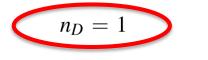
$$D = \sqrt{2n_D - 0.5}$$

$$\Delta f = \sqrt{(2n_D - 0.5)C_s\lambda}$$

$$n_D = 1, 2, 3, \dots$$

$$D = 1, 2, 3, \dots$$

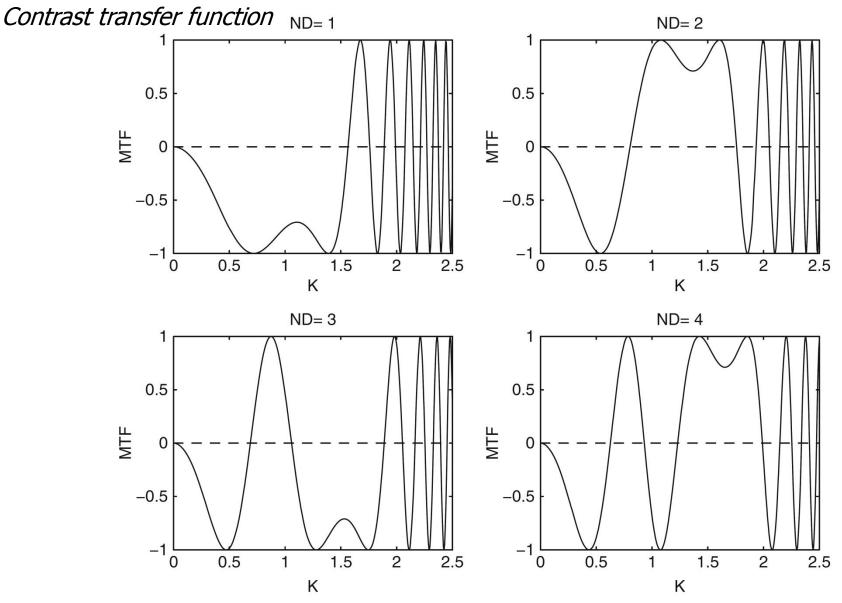
$$\mathbf{\lambda} = \mathbf{\lambda}$$



Scherzer focus







T. Lunkenbein, FHI





Scherzer Condition

Better to limit the range of spatial frequencies

 \rightarrow Transfer function has same sign over the Allowed range

 \rightarrow place objective aperture in the back focal plane Of the objective lens

 \rightarrow r_{aperture} corresponds to the spatial frequency

All rays within a maximum of the optical axis are Allowed to pass

 \rightarrow Objective aperture limits the maximum Spatial frequency in the image

 \rightarrow CTF has same sign over the range

Resolution at Scherzer condition:

$$\alpha_{\max} = \lambda k_{\max} = \left(\frac{6\lambda}{C_s}\right)^{1/4}$$

+
$$D = \sqrt{1.5}$$

$$D = \sqrt{1.5}$$

Ш

Scherzer aperture Corresponds to the first zero crossing of the transfer function

Scherzer focus

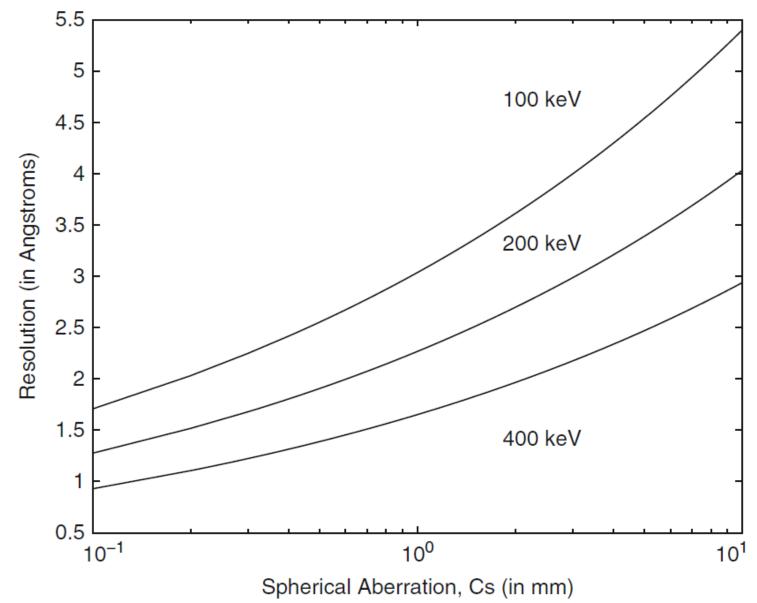
Scherzer condition

 λ : wavelength C_s: spherical aberrations **k**_{max}: maximum spatial frequency

$$d_s > \left(\frac{C_s \lambda^3}{6}\right)^{1/4} = 0.64 (C_s \lambda^3)^{1/4} = 1/k_{\max}$$











Partial Coherence

Imaging with none ideal illumination

Condenser delivers a small cone of Illumination on the sample;

Each illumination angle will be incoherent With other angles

 \rightarrow adding intensities and amplitudes

Transmitted wave function function of the specimen: $\psi_t(\mathbf{x}) = t(\mathbf{x}) \exp(2\pi i \mathbf{k}_{\beta} \cdot \mathbf{x})$

r

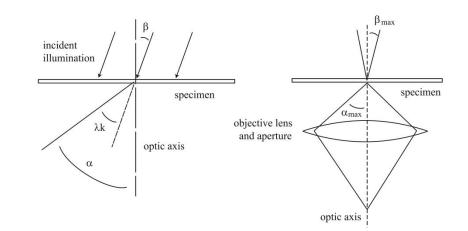
Image intensity:

Energy fluctuations contribute to the defocus fluctuations

$$\begin{split} \Delta f: & \text{defocus} \\ p(\mathbf{k}_{\beta}): & \text{distribution of illumination angles} \\ p(\delta_{f}): & \text{distribution of the fluctuation of the defocus} \\ \delta_{f}: & \text{fluctuation in defocus} \\ \beta = \lambda \mathbf{k}_{\beta}: & \text{angle of incident illumination (with Respect to the optical axis} \end{split}$$

$$g(\mathbf{x}) = \int |\psi_i(\mathbf{x})|^2 p(\mathbf{k}_\beta) p(\delta_f) d\delta_f d^2 k_\beta$$

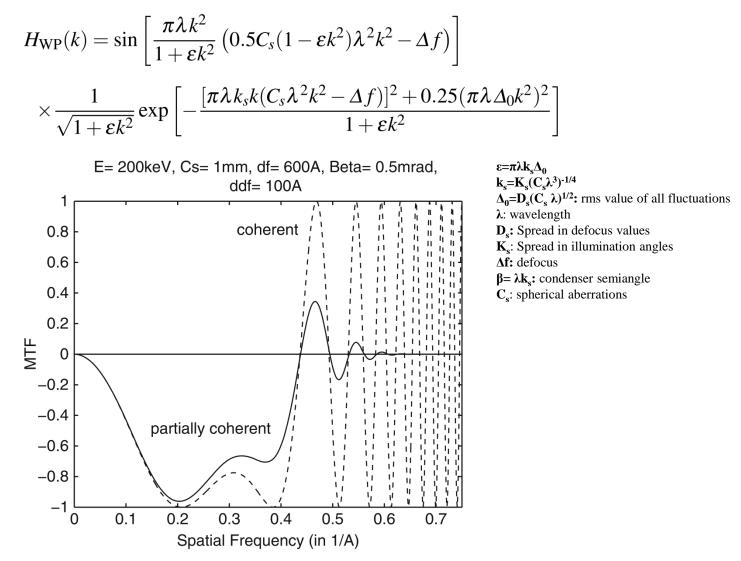
=
$$\int \left| \left[t(\mathbf{x}) \exp(2\pi i \mathbf{k}_\beta \cdot \mathbf{x}) \right] \otimes h_0(\mathbf{x}, \Delta f + \delta_f) \right|^2 p(\mathbf{k}_\beta) p(\delta_f) d\delta_f d^2 k_\beta$$







Transfer function of the objective lens:







Higher aberrations

 $H_{\rm WP}(k) = \frac{1}{\sqrt{1 + \varepsilon k^2}}$

$$\begin{split} & \epsilon = \pi \lambda k_s \Delta_0 \\ & k_s = K_s (C_s \lambda^3)^{-1/4} \\ & \Delta_0 = D_s (C_s \lambda)^{1/2} \text{: rms value of all fluctuations} \\ & \lambda \text{: wavelength} \\ & D_s \text{: Spread in defocus values} \\ & K_s \text{: Spread in illumination angles} \\ & \Delta f \text{: defocus} \\ & \beta = \lambda k_s \text{: condenser semiangle} \\ & C_s \text{: spherical aberrations} \end{split}$$

$$\times \sin\left[\frac{\pi\lambda k^2}{1+\varepsilon k^2} \left(\frac{1}{3}C_{s5}(1-2\varepsilon k^2)\lambda^4 k^4 + 0.5C_{s3}(1-\varepsilon k^2)\lambda^2 k^2 - \Delta f\right)\right]$$
$$\times \exp\left[-\frac{[\pi\lambda k_s k(C_{s5})\lambda^4 k^4 + C_{s3}\lambda^2 k^2 - \Delta f)]^2 + 0.25(\pi\lambda\Delta_0 k^2)^2}{1+\varepsilon k^2}\right].$$

Detector Influence

$$g(\mathbf{x}) = |\psi_t(\mathbf{x}) \otimes h_0(\mathbf{x})|^2 \otimes h_{\text{DET}}(\mathbf{x})$$



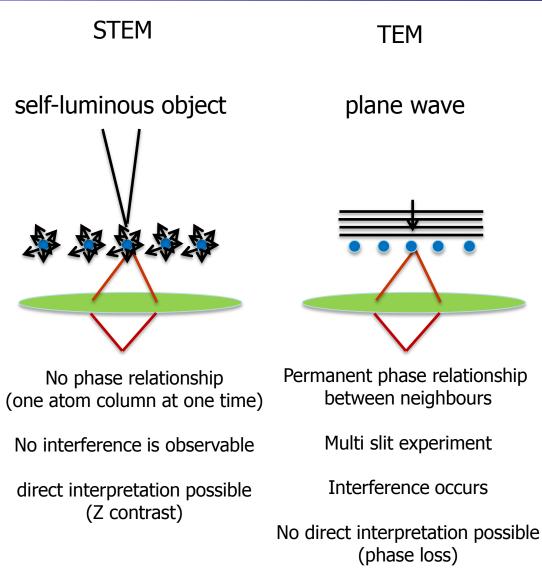
Incoherent vs. Coherent Imaging





Lord Rayleigh 1842-1919

"The function of the condenser in microscopic practice is to cause the obeject to behave, at any rate in some degree, as if it were self-luminous, and thus to obviate the sharply-marked interference bands which arise when permanent and definite phase relationships are permitted to exist between the radiations which issue from various points of the object."



Incoherent Imaging gives significantly better resolution than coherent imaging

Nellsit et al. Advances in Imaging and Electron Physics 113, 147-203.





Annular Dark Field STEM

The order of optical components of the STEM is reversed from that of the TEM i.e. objective lens before specimen

incident electrons

objective aperture

(principle plane) objective lens

specimen

x,y

diffraction plane

(CBED pattern)

optic axis

 $\beta_{\rm max} \ll 0.16 \alpha_{\rm max}$

 $\beta_{\rm max} \gg 0.16 \alpha_{\rm max}$

coherent imaging

ADF detector

Z

Transmitted electrons fall on detector \rightarrow form image brightness at one point

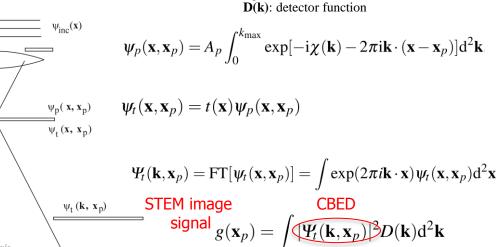
Complete image: scanning with a focused Probe over the specimen + recording the Transmitted intensity at each position of the probe

The detector integrates everything except The center region (annular detector)

Incoherent image model \rightarrow phase contrast negligible + image predominantly amplitude contrast

The probe size is limited by the aberrations of the objective lens.

Deflecting the beam to different positions changes the angles through the objetive lens At high resolution this deflection angle is aroung 0.01 mrad.

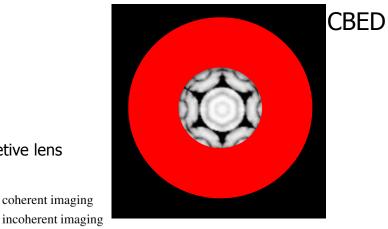


aperutre

 $\mathbf{x}_{\mathbf{p}}$: deflected probe position $\mathbf{A}_{\mathbf{n}}$: normalization constant

 $D(\mathbf{k}) = 1$ for $k_{D\min} \le k \le k_{D\max}$ = 0 otherwise,

 $\lambda \mathbf{k}_{max} = \alpha_{max}$: maximumg angle in the objective





2

-2

-3 -3 x (in Ang.)

2 1 BF-CTEM 0 -1

0.8

0.6

0.4

0.2

03

y (in Ang

0.8

0.6 0.4

0.2

-0.2

-0.4

-0.6

-0.8

-1

0

0.1

0.2

0.3

0.4

k (in 1/Ang.)

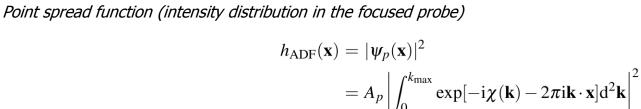
0.5

0.6

0.7

MTF 0 ADF-STEM

Transfer function (FT of Point spread function)



 $\frac{\partial \sigma(x)}{\partial k_s}$: partial cross section for scattering to angle k_e at position x **D**(**k**): detector function $\gamma(\mathbf{k})$: aberration function A_n: Normalization constant

- Annular Dark Field STEM
- \rightarrow Linear image model for incoherent scattering:

Object function (probability for scattering to large angles)

$$g(\mathbf{x}) = f(\mathbf{x}) \otimes h_{\text{ADF}}(\mathbf{x})$$

 $f(\mathbf{x}) \sim \int D(\mathbf{k}) \frac{\partial \sigma(\mathbf{x})}{\partial k_s} \mathrm{d}^2 k_s = \int_{k_{Dmix}}^{k_{Dmax}} \frac{\partial \sigma(\mathbf{x})}{\partial k_s} \mathrm{d}^2 k_s$









Source Size

Probe: Image of the electron source (can contribute to the probe size)

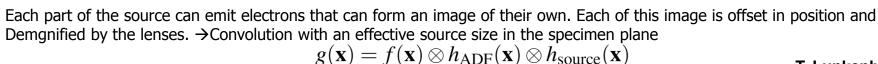
Brightness of the source

Brightness is conserved in mgentic lenses

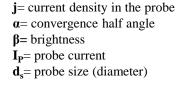
Condenser + objective lenses demagnify the image of the source onto the specimen

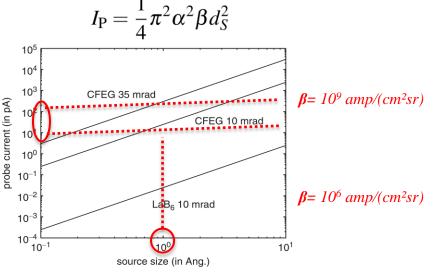
More source demagnification produces less current

Relation between probe size and probe current



 $\beta = \frac{J}{\pi \alpha^2}$









The weak phase object

Primary interaction between electron and specimen \rightarrow electrostatic potentail and charge of the electron

TEM: incident electrons are a superposition of plane waves

STEM: spherically convergent probe

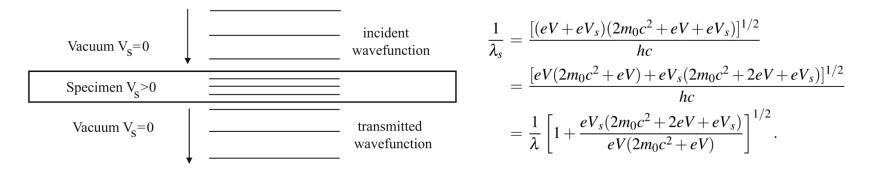
One plane wave tavelling in z direction

 $\psi(\mathbf{x}) = \exp(2\pi \mathrm{i}k_z z) = \exp(2\pi \mathrm{i}z/\lambda)$

Reciprocal expression for the wave vector in vacuum

For thin samples electrons pass through the specimen with only a small deviation in their path.

Specimen has a small electrostatic potential. If positive \rightarrow electrons are accelerated \rightarrow smaller wavelength



$$k_z = \frac{1}{\lambda} = \frac{\sqrt{eV(2m_0c^2 + eV)}}{hc}$$

λ= wavelength of the electron $k_z=1/λ$: propagtion wave vector h= Planck's constant m_0 = rest mass of the electron c= speed of light eV= kinetic energy of the electron in vacuum eV_s = kinetic energy of the electron in the specimen



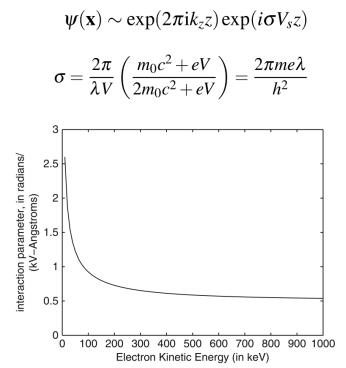






The weak phase object

 \rightarrow Shift in phase of the electrons \rightarrow electron wave function in the specimen is:



σ= interaction parameter
k_z=1/ λ: propagtion wave vector
h= Planck's constant
m₀= rest mass of the electron (m=γm₀)
c= speed of light
eV= kinetic energy of the electron in vacuum
V_s= specimen potential
λ=wavelength
γ=Lorentz factor
$$\frac{1}{\sqrt{1-\frac{\nu}{c}}}$$

v_z(**x**)= total projected atomic potential

Thin sample: phase shift of the electron wave function is the integral of the potential of the specimen \rightarrow Multiply wave function by transfer function

$$\psi_t(\mathbf{x}) = t(\mathbf{x}) \exp(2\pi i k_z z)$$
$$t(\mathbf{x}) = \exp[i\sigma v_z(\mathbf{x})]$$

$$v_z(\mathbf{x}) = v_z(x,y) = \int V_s(x,y,z) dz$$

 \rightarrow Weak phase object approximation



Calculation of Images of Thin specimen

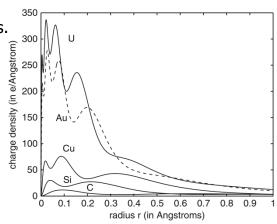


Single atom properties

Radial Electron Charge Distribution

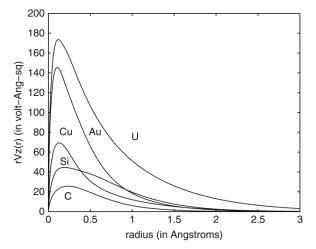
The peaks correspond to the atomic orbitals.

Electron cloud shields the atomic nucleus

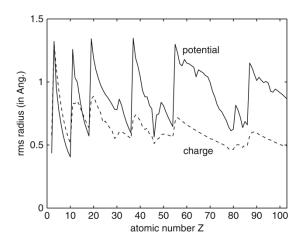


Atomic sizes

Projected Potential multiplied by the radius r to illustrate the Relative contribution to an image



The rms radius of isolated single atoms as determined from the (3D) potential charge and the (2D) projected atomic potential







Single atom properties

Potential

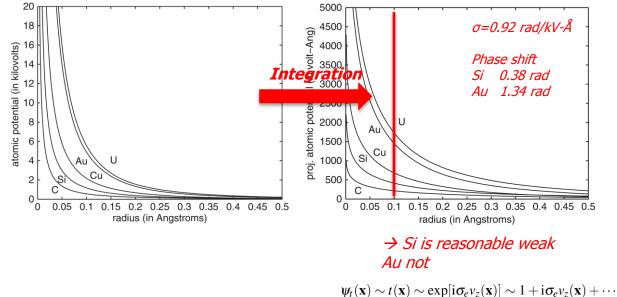
Electrons in the microscope interact directly with the atomic potential

Charge distribution and potential are related vie Poisson's equation from electromagnetic theory

The charge distribution only includes the electron charge distribution.

The large point charge on the atomic nucleus has the strongest interaction with the imaging electrons.

Addition of nucleus to electron charge distribution + transforming into an atomic potential \rightarrow much more peaked at the nucleus



All atoms have a near singularity at a radius close to 0; so no atom is truly a WPO in a strict sense.





The scattering factor

Electron scattering: outgoing plane wave + outgoing spherical wave (spherical symmetry of the atoms) with amplitude ($f_e(q)$)

$$\psi(\mathbf{x}) = \exp(2\pi i k_z z)$$
 incident
= $\exp(2\pi i k_z z) + f_e(q) \frac{\exp(2\pi i \mathbf{q} \cdot \mathbf{r})}{r}$ scattered.

q = 3D wave vector (difference between incident and scattered wave)

Born approximation:

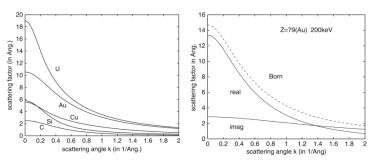
$$T_e(q) = rac{1}{\pi e a_0 q} \int_0^\infty V_a(r) \sin(2\pi q r) r \mathrm{d}r.$$

 $\mathbf{a_0}$ = Bohr radius (0.5292Å) $\mathbf{V_a}(\mathbf{r})$ = 3D atomic potential of the atom \mathbf{e} = magnitude of the charge of the electron

Amplitude of a single electron scattered by single atom

Inadequate for directly calculating electron scattering in the EM, but usful for calculating the specimen potential

 $f_e(q)$ should be complex; elastic scattering: should be destroyed or created



Moliere approximation:

$$f_e(q) = \frac{2\pi i}{\lambda} \int_0^\infty J_0(2\pi qr) \left\{ 1 - \exp\left[i\sigma \int V(x, y, z) dz\right] \right\} r dr$$

 $\mathbf{J}_{\mathbf{0}}$ = Bessel function of 0. order σ = interaction parameter λ = wavelength



Calculation of Images of Thin specimen



The specimen potential

Electrons interact with the specimen as a whole.

Simulation requires the knowledge of the position of all atoms

Linear superposition approximation of the potentials of each atom in the specimen

$$v_z(\mathbf{x}) = \sum_{j=1}^N v_{zj}(\mathbf{x} - \mathbf{x}_j)$$

 \mathbf{x}_{j} = (\mathbf{x}_{j} , \mathbf{y}_{j}): position of atom j $\mathbf{v}_{zj}(\mathbf{x})$: projected atomic potential of the atom

Exact for seperated atoms

Solids: atoms are bound together and outer electrons rearrange slightly

Slight change in **v**_{zj}

In ADF-STEM: high angle scattering occures at atomic nucleus which by bonding

No influence on the linear superposition approximation.

From the specimen potential and the scattering factor the **structure factor** can be calculated:

$$F(\mathbf{q}) = \sum_{j} f_{ej}(\mathbf{q}) \exp(2\pi i \mathbf{q} \cdot \mathbf{x}_{j}) \quad \begin{array}{l} \mathbf{q} = \text{3D wave vector} \\ \text{(difference between} \\ \text{incident and scattered wave)} \end{array}$$



Calculation of Images of Thin specimen

 $\psi_t(\mathbf{x}) = t(\mathbf{x}) \exp(2\pi i k_z z) \sim t(\mathbf{x})$

 $t(\mathbf{x}) = \exp[i\sigma v_{z}(\mathbf{x})]$

 $\Psi_t(k) = \mathrm{FT}[\Psi_t(\mathbf{x})]$

 $\Psi_i(k) = \Psi_t(\mathbf{k}) H_0(\mathbf{k})$

BF phase contrast image calculation

Remember: BF-TEM and BF-STEM are connected via the reciprocity theorem.

Incident electron wave function is a single plane wave of unit intensity

Interaction wit hspecimen \rightarrow phase shift which is position dependent \rightarrow specimen transfer function

Transmitted wave function imaged by the objective lens

$H_0(\mathbf{k}) = \exp[-i\boldsymbol{\chi}(\mathbf{k})]A(\mathbf{k})$ $\boldsymbol{\chi}(k) = \pi\lambda k^2 (0.5C_s\lambda^2 k^2 - \Delta f)$
$A(\mathbf{k}) = 1; \ \lambda k = \alpha < \alpha_{\max}$
= 0; otherwise

 $\mathbf{v}_{\mathbf{z}}(\mathbf{x})$ = total projected atomic potential σ = interaction parameter $\mathbf{k}_{\mathbf{z}}$ = wave vector in z direction

$$\begin{split} \Psi i(\mathbf{k}) &= \text{image wave function in the back focal} \\ \text{plane} \\ H_0(\mathbf{k}) &= \text{transfer function of the objective lens} \\ \chi(\mathbf{k}) &= \text{abberation function} \\ A(\mathbf{k}) &= \text{aperture function} \\ \Delta \mathbf{f} &= \text{defocus} \\ \mathbf{C}_s &= \text{spherical aberration} \\ \boldsymbol{\alpha}_{max} &= \text{maximum semiangle of the objective} \\ \text{aperture} \end{split}$$

Actual recorded image is the magnitude squared of the image wave function after inverse FT back to real space

$$\begin{aligned} \boldsymbol{\psi}_i(\mathbf{x}) &= \mathrm{F}\mathrm{T}^{-1}[\boldsymbol{\Psi}_i(\mathbf{k})]\\ g(\mathbf{x}) &= |\boldsymbol{\psi}_i(\mathbf{x})|^2 = |\boldsymbol{\psi}_t(\mathbf{x}) \otimes h_0(\mathbf{x})|^2 \end{aligned}$$

 $h_0(x)$ = complex point spread function of the objective lens





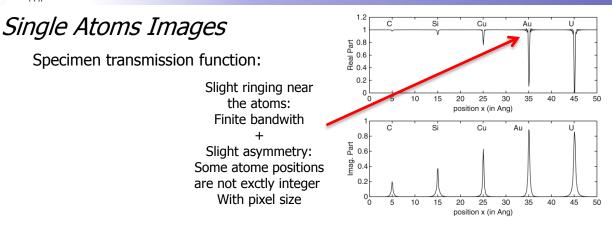


Steps in the calculation of CTEM images

- Step 1 Calculate the projected atomic potential $v_z(\mathbf{x})$ from (5.19) or (5.21).
- Step 2 Calculate the transmission function $t(\mathbf{x}) = \exp[i\sigma v_z(\mathbf{x})]$ (5.25) and symmetrically bandwidth limit it. The incident wave function is a plane wave so the transmitted wave function is equal to the transmission function.
- Step 3 Fourier transform the transmission function $T(\mathbf{k}) = FT[t(\mathbf{x})]$.
- Step 4 Multiply the Fourier transform of the transmission function by the transfer function of the objective lens, $H_0(k)$ (5.27) to get the image wave function in the back focal plane $\Psi_i(\mathbf{k}) =$ $H_0(k)T(\mathbf{k})$.
- Step 5 Inverse Fourier transform the image wave function $\psi_t(\mathbf{k}) = FT^{-1}[\Psi_i(\mathbf{k})].$
- Step 6 Calculate the square modulus of the image wave function (in real space) to get the final image intensity $g(\mathbf{x}) = |\psi_t(\mathbf{x}) \otimes h_o(\mathbf{x})|^2$.

Calculation of Images of Thin specimen





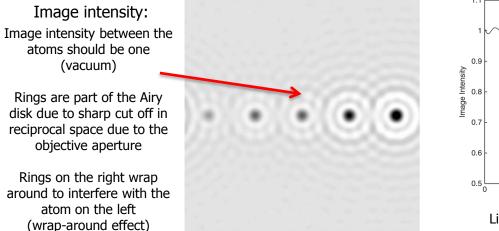
Atom 's distance: 10 Å Image size: 50 Å 512 x 512 pixels Atomic potential where calculated The Moliere apporximation

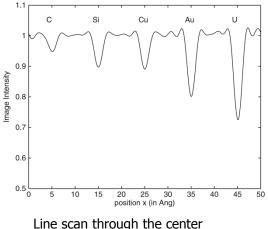
Real part depends stronger on the atomic number Z than the imaginary part.

Remember: potential has a singularity for r=0 (center of the atom)

Value at the center of the atom: average over one pixel

ightarrow Smaller pixel size leads to values closer to the singular value at the center







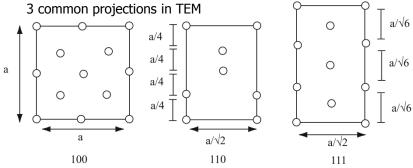


Thin specimen images

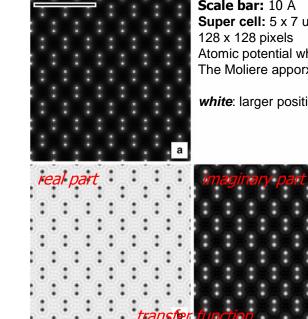
Example: Si

500p

low atomic number \rightarrow WPO Simple fcc structure



Projected atomic potential of a 4 atoms thick (110) Si



Scale bar: 10 Å Super cell: 5 x 7 unit cells Atomic potential where calculated The Moliere apporximation

white: larger positive number





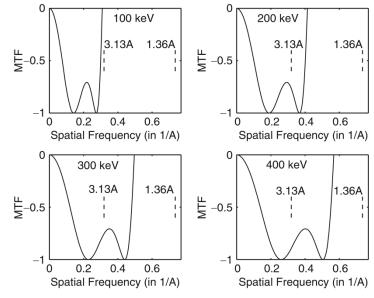
Thin specimen images

Coherent BF images of (110) Si in the WPO approximation

~~~~~	
~~~~~	
~~~~~	
200 kl/s = 10 27 must	<i>400 kV; α_{max}=9.33 mrad;</i> b Δf= <b>5</b> 66 <mark>β</mark>
<b>200 kV;</b> a _{max} = <b>10.37 mrad;</b> a	400 KV; a _{max} =9.33 mrady b
<u> </u>	Δ <b>Γ=10</b> 00 μ

Scale bar: 10 Å Super cell: 5 x 7 unit cells 128 x 128 pixels Scherzer conditions *white*: larger positive number; atoms should appear black

Transfer function for a coherent BF image of (110) Si in the WPO approximation







## ADF STEM images of thin specimen

Objective lens is before the specimen (see reciprocity theorem)

Transmitted electrons get scattered at high angles to form the ADF signal

Wave function of the focused probe incident upon the specimen at position xp is the integral of the aberration wave function over the objective aperture:

$$\psi_p(\mathbf{x}, \mathbf{x}_p) = A_p \int_0^{k_{\text{max}}} \exp[-i\chi(\mathbf{k}) - 2\pi i\mathbf{k} \cdot (\mathbf{x} - \mathbf{x}_p)] d^2 \mathbf{k}, \quad \substack{\lambda \mathbf{k}_{\text{max}} = \alpha: \text{ maximum angle in the objective aperture} \\ \mathbf{A}_p: \text{ normalization constant}}$$

Specimen transfer function:

Transmitted wave function is diffracted into the far field and hits the detector

$$\Psi_t(\mathbf{k}) = \mathrm{FT}[\Psi_t(\mathbf{x})].$$

The detector integrates the square modulus of the wave function in the diffraction plane to form the ADF-STEM at this point in the image

$$g(\mathbf{x}_p) = \int D(\mathbf{k}) |\Psi_t(\mathbf{k}, \mathbf{x}_p)|^2 \mathrm{d}^2 \mathbf{k}, \qquad D(\mathbf{k}) = \text{ detector function}$$

 $D(\mathbf{k}) = 1$  on the detector

= 0 otherwise.

Probe scans across the specimen  $\rightarrow$  process is repeated for each new position

Detector: large annulus covering only high angle scattering





## Steps in the calculation of ADF-STEM images

- Step 1 Calculate the projected atomic potential  $v_z(\mathbf{x})$  from (5.19) or (5.21).
- Step 2 Calculate the transmission function  $t(\mathbf{x}) = \exp[i\sigma v_z(\mathbf{x})]$  (5.25) and symmetrically bandwidth limit it.
- Step 3 Calculate the probe wave function  $\psi_p(\mathbf{x}, \mathbf{x}_p)$  at position  $\mathbf{x}_p$  (5.45,5.47)
- Step 4 Multiply the probe wave function by the specimen transmission function  $t(\mathbf{x}) = \exp[i\sigma v_z(\mathbf{x})]$  to get the transmitted wave function  $\psi_t(\mathbf{x})$ .
- Step 5 Fourier transform the transmitted wave function to get the wave function in the far field (diffraction plane).
- Step 6 Integrate the intensity (square modulus) of the wave function in the diffraction plane including only those portions that fall on the annular detector (5.50). This is the signal for one point or pixel in the image.
- Step 7 Repeat step 3 through step 6 for each position of the incident probe  $\mathbf{x}_p$ .





## ADF STEM: Single atom images

Specimen transfer function the same than in **BF-TEM** 

ADF is relative to the incident beam current BF relative to the incident beam current density (incident beam has uniform intensity at all positions)

ADF signal much weaker than the BF singal

ADF image shows higher contrast between light and heavy atoms

DF-STEM Z^{1.5} to Z^{1.7}

100 keV

400 keV

10¹

atomic number Z

10-2

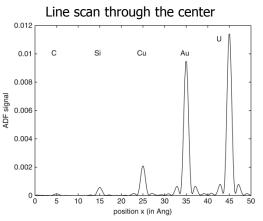
single atom peak signal

10-4

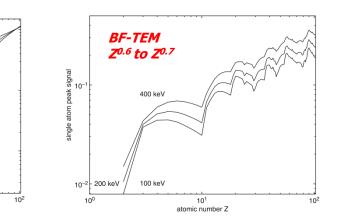
200 keV

10⁰

Peak single atom signal ADF-STEM vs. BF-TEM



ЧŪ

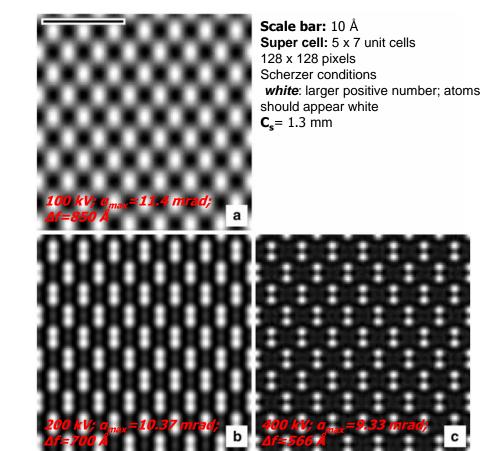


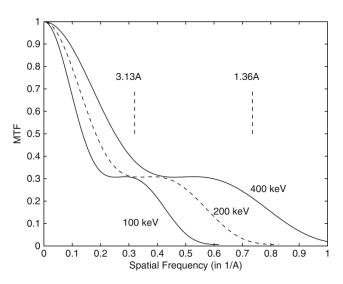




## ADF STEM: Thin specimen images

Simulated ADF-STEM images of (110) Si (4 atoms thick) in the WPO approximation





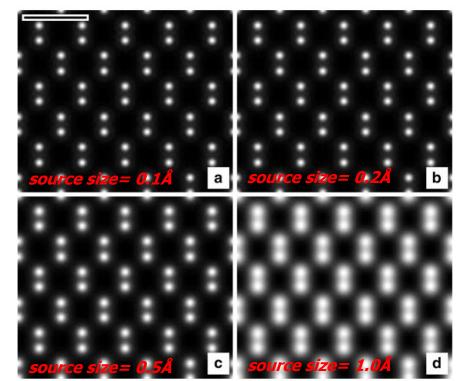
Transfer function for an inchorrent ADF-STEM image under Scherzer conditions





## ADF STEM: Thin specimen images

Simulated ADF-STEM images of (110) Si (4 atoms thick) in the WPO approximation at 100keV



Scale bar: 5 Å Super cell: 5 x 7 unit cells white: larger positive number; atoms should appear white  $C_s$ = 0 mm  $a_{max}$ =35 mrad  $\Delta f$ =0 Å





### ADF STEM: Thin specimen images

Tick samples: multiple + geometric extention along the optical axis

ightarrow Electron interacts strongly with the sample and can scatter more than once ightarrow dynamic scattering

Instrumental aspects: electron microscope + the passage of the elctrons through the microscope are the same

Only difference: specimen

Shortest part, but the most difficult part to calculate, because of the strong interaction of the elctrons with the specimen

2 Theories:

### Bloch wave

Wave function of a particle in periodically repeating potential

1928: Bethe solved 3D eigenvalues of the electron wave function in a crystalline specimen Using appropiate boundary conditions on the entrance and exit face of the crystal

### **Mulitslice Method**

Specimen divided into thin 2D slices along z

Electron beam gets transmitted through a slice and propagates to the next slice

Each slice is thin enough to be a simple phase object and the propagation between slices is determined by Frsenel diffraction



Simulation Programs lead to wide spread use of simulation in HR image interpreatation

### Bloch waves:

Electron wave function can be expressed by a linear combination of any complete basis set

Using a basis set that also satisfies the Schrödinger equation in the specimen (periodic crystal) are called Bloch waves)

$$\psi(x,y,z) = \psi(\mathbf{r}) = \sum_{j} \alpha_{j} b_{j}(\mathbf{k}_{j},\mathbf{r})$$

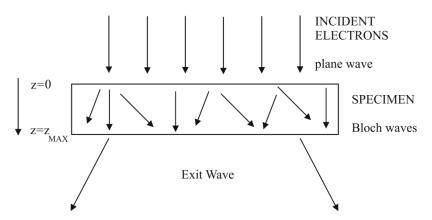
 $b(\mathbf{k}_j,\mathbf{r})$  Expansion of the electron wave Function to Bolch waves

kj: scattering vector on the Ewald sphere

With these Bloch waves any set of coefficients aj are allowed inside the crystal, BUT only one set will also match the incident wave function

Specimen: converter or filter that converts the incident electrons into a superposition of Bloch waves inside the specimen

Characteristics of this Bloch waves determine how the electrons travel through the sample.









## Steps in the Bloch wave eigenvalue calculation:

Each Bloch wave must satisfy the Schrödinger equation and is forced to have the periodicity of the specimen:

$$b_j(\mathbf{k}_j, \mathbf{r}) = \exp[2\pi i \mathbf{k}_j \cdot \mathbf{r}] \sum_{\mathbf{G}} C_{\mathbf{G}j} \exp[2\pi i \mathbf{G} \cdot \mathbf{r}]$$
$$= \sum_{\mathbf{G}} C_{\mathbf{G}j} \exp[2\pi i (\mathbf{k}_j + \mathbf{G}) \cdot \mathbf{r}].$$

(1) Calculate the Fourier coefficient ( $V_G$ ) of the atomic potential V(r)

h= Planck's constant  $\mathbf{m}_{0}$ = relativistic mass of the electron  $\mathbf{e}$ = magnitude of the charge of the electron  $\mathbf{a}_{0}$ = Bohr's atomic radius  $\mathbf{F}_{ej}$ = electron scattering factor in the first Born approximation  $\Omega$ = unit cell volume  $\mathbf{j}$ = all atoms in the unit cell  $\mathbf{G}$ =( $\mathbf{G}_{x}, \mathbf{G}_{y}, \mathbf{G}_{z}$ )= (h/a, k/b, l/c): reciprocal lattice Vectors  $\mathbf{C}_{Gi}$ = set of coefficient for each Bloch wave j  $\mathbf{V}(x, y, z) = V(\mathbf{r}) = U(x)$   $V(x, y, z) = V(\mathbf{r}) = U(x)$   $V_{G} = \frac{h^{2}}{2\pi m_{0}e}$  $= \frac{2\pi ea_{0}}{\Omega}$ 

$$\begin{split} (x,y,z) &= V(\mathbf{r}) = \sum_{\mathbf{G}} V_{\mathbf{G}} \exp[2\pi \mathrm{i}\mathbf{G}\cdot\mathbf{r}] & \text{3D- Fourier series} \\ V_{\mathbf{G}} &= \frac{h^2}{2\pi m_0 e} \frac{1}{\Omega} \sum_j f_{ej}(|\mathbf{G}|) \exp(-2\pi \mathrm{i}\mathbf{G}\cdot\mathbf{r}_j) \\ &= \frac{2\pi e a_0}{\Omega} \sum_j f_{ej}(|\mathbf{G}|) \exp(-2\pi \mathrm{i}\mathbf{G}\cdot\mathbf{r}_j) \\ &= \frac{47.86}{\Omega} \sum_j f_{ej}(|\mathbf{G}|) \exp(-2\pi \mathrm{i}\mathbf{G}\cdot\mathbf{r}_j), \end{split}$$

When the crystal has a symmetry center  $\rightarrow$  for every atom at position r there is an identical atom at position -r and The terms appear as pairs of complex conjugates making VG real, if not it is complex.

Calculate all VG up to some maximum magnitude of G (scan through integers (h,k,l) and keep all with  $|V_G| > \varepsilon |V_{G=0}|$ ;  $\varepsilon \sim 10^{-5}$ 

### Bloch waves:

5002

(2) Solve for the eigenvalues (proportional to  $\gamma_i$ ) and eigenvectors C_G:

$$2k_0s_{\mathbf{G}}C_{\mathbf{G}j} + \sum_{\mathbf{H}\neq\mathbf{G}} U_{\mathbf{G}-\mathbf{H}}C_{\mathbf{H}j} = 2\gamma_j k_{0,z}C_{\mathbf{G}j}$$

(3) Find the weighting coefficients  $\alpha_i$  to match the incident wave function at z=0

$$C^{-1}\psi(z=0) = C^{-1}C\alpha = \alpha$$
$$\alpha = C^{-1}\psi(z=0) = C^{\dagger}\psi(z=0)$$

(4) Calculate the electron wave function at the exit surface of the specimen

column vector 
$$\Psi(z) = C[\exp(2\pi i\gamma_j z)]\alpha$$
  
 $\Psi(x, y, z) = FT_{xy}^{-1} \left[\sum_{\mathbf{G}} \Psi_{\mathbf{G}} \exp(2\pi iG_z z)\right]$ 

$$\frac{\partial \phi_{\mathbf{G}}(z)}{\partial z} = -\pi i (2G_z + \lambda G_x^2 + \lambda G_y^2) \phi_{\mathbf{G}}(z) + i\sigma \sum_{\mathbf{G}'} V_{\mathbf{G} - \mathbf{G}'} \phi_{\mathbf{G}'}(z)$$
$$= 2\pi i s_{\mathbf{G}} \phi_{\mathbf{G}}(z) + i\sigma \sum_{\mathbf{G}'} V_{\mathbf{G} - \mathbf{G}'} \phi_{\mathbf{G}'}(z).$$

$$\begin{split} \mathbf{s}_{G} &= \text{excitation error} \\ \boldsymbol{\gamma}_{j} &= \text{small term along the beam direction} \\ \mathbf{C} &= \text{matrix} \\ \mathbf{j} &= \text{all atoms in the unit cell} \\ \mathbf{G} &= (\mathbf{G}_{x}, \mathbf{G}_{y}, \mathbf{G}_{z}) = (h/a, k/b, l/c): \text{ reciprocal lattice} \\ \text{Vectors} \\ \mathbf{C}_{Gj} &= \text{set of coefficient for each Bloch wave j} \\ \boldsymbol{\alpha}_{i} &= \text{weighting coefficient} \end{split}$$

$$\begin{array}{c} \psi_0(z) \\ \psi_D(z) \\ \psi_E(z) \\ \psi_F(z) \end{array} \right] = \begin{bmatrix} C_{00} \ C_{01} \ C_{02} \ C_{03} \\ C_{D0} \ C_{D1} \ C_{D2} \ C_{D3} \\ C_{E0} \ C_{E1} \ C_{E2} \ C_{E3} \\ C_{F0} \ C_{F1} \ C_{F2} \ C_{F3} \end{bmatrix}$$

	$e^{2\pi i \gamma_0 z}$	0	0	0	$\begin{bmatrix} \alpha_0 \\ \alpha_1 \end{bmatrix}$
$\sim$	0	$e^{2\pi i \gamma_1 z}$		0	$\alpha_1$
~	0	0	$e^{2\pi i \gamma_2 z}$	•	$\alpha_2$
	0	0	0	$e^{2\pi i \gamma_3 z}$	$\begin{bmatrix} \alpha_1 \\ \alpha_2 \\ \alpha_3 \end{bmatrix}$



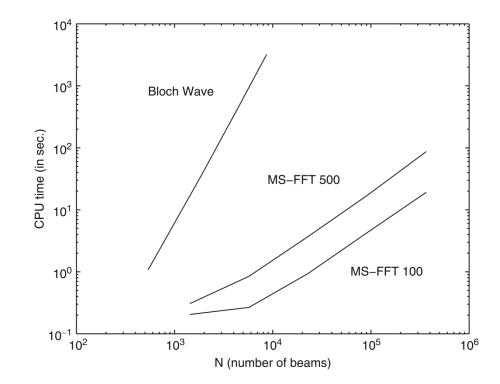




### Bloch waves:

Limitations:

- The computer time requiered for a matrix multiplication scales as N² for the direct solution of a matrix
- Large number of beams (>20) a direct matrix (Bloch wave) solution becomes very inefficient
- Only 2 or 3 Bloch waves (beams) should be involved  $\rightarrow$  specimen is a perfect crystal with a small unit cell

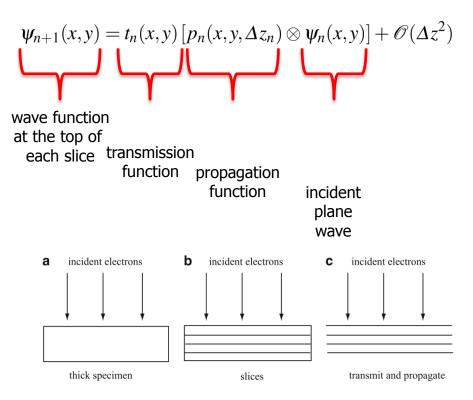






### Multislice Solution

Let's start simple:



At each slice the electron wave function experiences a phase shift due the projected atomic potential of all atoms And then propagates.

Each slice is idependent of all other slices (slice thickness and transmission function may vary.





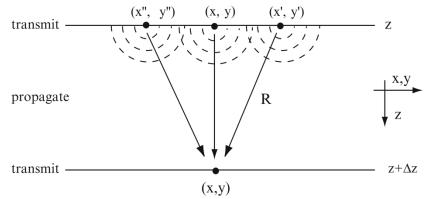
## Multislice Solution – Physical optics viewpoint

The propagator function can be associated with the Fresenel (near zone) diffraction over a distance  $\Delta z$ 

Huygens 'principle states that every point of a wave front gives rise to an outgoing spherical wave.

These outgoing spherical waves propagate to the next position of the wavefront and interfere with one another.

The wave function in an x, y plane at  $z + \Delta z$  is the interference of all of these spherically outgoing waves that originated in an x, y plane at z.



This propagation of the wave front can be calculated by the Fresnel Kirchhoff diffraction integral

$$\psi(x, y, z + \Delta z) = \frac{1}{2i\lambda} \int \psi(x', y', z) \frac{\exp(2\pi i R/\lambda)}{R} (1 + \cos\theta) dx' dy', \quad R = \sqrt{(x - x')^2 + (y - y')^2 + \Delta z^2}$$
$$p(x, y, \Delta z) = \frac{1}{i\lambda\Delta z} \exp\left[\frac{i\pi}{\lambda\Delta z} (x^2 + y^2)\right]$$

The mulitslice propagator function can be interpreted simply as the Fresnel diffraction over a distance  $\Delta z = \Delta f$ .



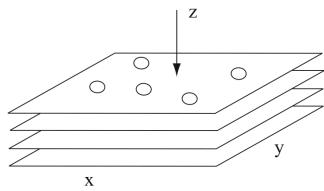


## Slicing the specimen

Slicing the specimen in a form that it can be used in the multislice program (rectangular)  $\rightarrow$  most difficult part

The specimen must be described as a sequence of layers and spacings in the program.

Each slice must be thin enough to be a weak phase object and perpendicular to the obtical axis



- All of the atoms within z to z+  $\Delta z$  are compressed into flat planeor slize at z.
- Slice must be aligned with natural periodicity + the edges of the slice (in x,y plane) must have periodic boundary conditions (in x and y)  $\rightarrow$  Wrap around effect
- Many crystalline specimen have identical atomic layers (e.g. (111) Si: stacking sequence of abcabc....)





## Slicing the specimen

Aligning the natural atomic layers of the specimen with the slices can have beneficial side effects.

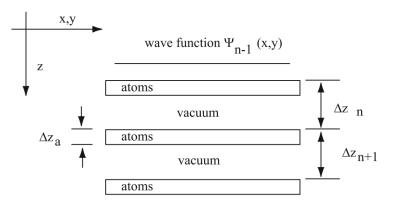
The atomic potential peaks at the nucleus (singularity) and falls off quickly (1/r dependence)

 $\rightarrow$ The effective range of the potential in the atoms can be smaller than the distance in the layer

The potential is identically 0 in between the layers (vacuum). The transmission in vacuum is nearly exact  $\rightarrow$  the error occurs only over the thickness of the layer:

 $p(x, y, \Delta z) = p(x, y, \Delta z - \Delta z_a) \otimes p(x, y, \Delta z_a)$ 

Multislice equation: transmission + propagator over  $\Delta z_a$  followd by a propagation over a distance  $\Delta z - \Delta z_a$ . The effective error is of order  $\Delta z_a \rightarrow$  significantly smaller than total slice thickness  $\Delta z$ .







Program	Author	Year	Type	Comments
SHRLI	O'Keefe and Buseck [269]	1978,9	М	
TEMPAS	Kilaas [194]	1987	М	
EMS	Stadelmann [335]	1987	В	
NCEMSS	O'Keefe and Kilaas [271]	1988	М	
MacTEMPAS	Kilaas [195]	?	М	on-line
TEMSIM	Kirkland [205]	1998	Μ	CD, on-line
?	Ishizuka [178]	2001	B, M	online
?	deGraf [129]	2003	В	online
JEMS	Stadelmann [336]	2004	B, M	online
WebEMAPS	Zuo [334, 393]	2005	В	online
EDM	Marks et al [235]	2006	B,M	online
SimulaTEM	Gómez-Rodríguez et al. [123]	2010	М	online

Table 6.2 Some image simulation software packages appearing in the literature or on-line

Type M is multislice and type B is Bloch-Wave. Some of the listed programs may be commercial. Many other private programs likely exist

#### Table 6.3 Steps in the simulation of CTEM images of thick specimens

1	
Step 1	Divide the specimen into thin slices.
Step 2	Calculate the projected atomic potential $v_{zn}(\mathbf{x})$ [(5.19) or
_	(5.21)] for each slice and symmetrically bandwidth limit them.
Step 3	Calculate the transmission function $t_n(\mathbf{x}) = \exp[i\sigma v_{zn}(\mathbf{x})]$
-	(5.25) for each slice and symmetrically bandwidth limit each
	to 2/3 of it maximum to prevent aliasing.
Step 4	Initialize the incident wave function $\psi_0(x, y) = 1$ .
Step 5	Recursively transmit and propagate the wave function through
	each slice $\psi_{n+1}(x,y) = p_n(x,y,\Delta z_n) \otimes [t_n(x,y)\psi_n(x,y)]$ using
	FFT's as in (6.92). Repeat until the wave function is all the
	way through the specimen
Step 6	Fourier transform the wave function at the exit surface of the
	specimen $\Psi_n(k_x, k_y) = FT[\Psi_n(x, y)].$
Step 7	Multiply the transmitted wave function $\Psi_n(k_x, k_y)$ by the trans-
	fer function of the objective lens, $H_0(k)$ (5.27) to get the image
	wave function in the back focal plane $\Psi_i(\mathbf{k}) = H_0(k)\Psi_n(\mathbf{k})$ .
Step 8	Inverse Fourier transform the image wave function $\psi_i(\mathbf{x}) =$
	$\mathrm{F}\mathrm{T}^{-1}[\Psi_i(\mathbf{k})].$
Step 9	Calculate the square modulus of the image wave function (in
	real space) to get the final image intensity $g(\mathbf{x}) =  \psi_i(\mathbf{x}) ^2 =$
	$ oldsymbol{\psi}_n(\mathbf{x})\otimes h_o(\mathbf{x}) ^2.$
	Step 2 Step 3 Step 4 Step 5 Step 6 Step 7 Step 8 Step 9

### Table 6.4 Steps in the simulation of STEM images of thick specimens

Step 1 Divide the specimen into thin slices. Step 2 Calculate the projected atomic potential $v_{zn}(\mathbf{x})$ [(5.19) (5.21)] for each slice and symmetrically bandwidth limit the Step 3 Calculate the transmission function $t_n(\mathbf{x}) = \exp[i\sigma v_{zn}(\mathbf{x})]$ (5.25) for each slice and symmetrically bandwidth limit ea to 2/3 of it maximum to prevent aliasing.	or
(5.21)] for each slice and symmetrically bandwidth limit the Step 3 Calculate the transmission function $t_n(\mathbf{x}) = \exp[i\sigma v_{zn}(\mathbf{x})]$ (5.25) for each slice and symmetrically bandwidth limit ear to 2/3 of it maximum to prevent aliasing.	$\mathbf{or}$
Step 3 Calculate the transmission function $t_n(\mathbf{x}) = \exp[i\sigma v_{zn}(\mathbf{x})]$ (5.25) for each slice and symmetrically bandwidth limit each to 2/3 of it maximum to prevent aliasing.	01
(5.25) for each slice and symmetrically bandwidth limit ea to 2/3 of it maximum to prevent aliasing.	
to 2/3 of it maximum to prevent aliasing.	
· ·	ch
Step 4 Calculate the probe wave function $\psi_p(\mathbf{x}, \mathbf{x}_p)$ at position	$\mathbf{x}_p$
(5.45,5.47)	
Step 5 Recursively transmit and propagate the probe wave function	
through each slice $\psi_{n+1}(x, y) = p_n(x, y, \Delta z_n) \otimes [t_n(x, y)\psi_n(x, y)]$	')]
using FFT's as in $(6.92)$ . Repeat until the wave function is	all
the way through the specimen	
Step 6 Fourier transform the transmitted wave function to get the wa	ve
function in the far field (diffraction plane).	
Step 7 Integrate the intensity (square modulus) of the wave functi	
in the diffraction plane including only those portions that f	
on the detector $(5.50)$ . This is the signal for one point or pix	el
in the image.	
Step 8 Repeat step 4 through step 7 for each position of the incide	nt
probe $\mathbf{x}_p$ .	





